

ON-SITE REVIEW (FIELD REVIEW)

An on-site review is a more in-depth monitoring activity than a desk review, but is not meant to be considered an audit. This kind of review involves one or more payments or grants, in which Cal OES assesses the capability, performance, and compliance of subrecipient against applicable administrative regulations and grant requirements, and entails one or more Cal OES Grants Monitoring staff, in conjunction with Cal OES Grant Program staff, when possible, visiting your organization in person. All cost categories, items and supporting documentation related to the reimbursement(s) are reviewed including, but not limited to, the organization's internal controls, procurement and contracting procedures and practices, compliance with specific grant requirements and guidelines, current and past audit reports, site visit reports conducted by program staff, previous monitoring reports and other correspondence, as well as performance input from Cal OES program staff.

Before the Review:

Project Identification - One or more payments or projects are identified to be monitored.

Notification – Approximately 30 to 45 days prior to the review, the monitor will contact you to coordinate the dates of the visit. At least two weeks prior to the visit, you will receive an official letter notifying you of the upcoming review, which will include a list of the documents that need to be assembled. A copy of this letter will also be sent to the assigned Cal OES program staff.

The Review:

Entrance Conference - The Monitor conducts an entrance conference with the subrecipient (Executive Director, Project Director, Authorized Agent, Fiscal Officer, etc.) to discuss the review scope and purpose, explain the review process, and answer any questions.

The Review - The Monitor will review the documentation that has been provided and interview staff as another source for their information gathering, or to request clarification or additional information. Findings and observations will be based on this information.

Exit Conference - When the review is complete, the Monitor will conduct an exit conference to discuss any compliance issues, findings and observations, and suggestions for appropriate corrective action. Subrecipients will have an opportunity to ask questions, and will have a limited amount of time following the field review to provide additional documentation that corrects identified issues, findings, or observations.

After the Review:

Monitoring Report - The Monitor prepares a written report of the review and forwards the report to the subrecipient, usually within 30 days of the date of the exit conference. The report documents all of the compliance issues, findings, observations and advisory recommendations discussed at the exit conference along with the specific citations associated with each.

Corrective Action Plan - If the report contains findings, the subrecipient has 30 days from the date of the monitoring report to either dispute the findings with written comments and any supporting documentation, or to submit a Corrective Action Plan (CAP) specifying the plan to remedy the finding(s). The CAP must be fully implemented within six months from the date of the monitoring report. Follow-up reviews may be conducted by the Monitor to ensure timely implementation, as necessary.

Technical Assistance - The Monitor may follow up with the subrecipient to provide ongoing technical assistance to facilitate grant compliance, as needed. The subrecipient may also request technical assistance from Cal OES Monitoring staff for non-programmatic grant management activities. Programmatic technical assistance is provided by Cal OES Grant Program staff.